

CALTRANS ENCROACHMENT PERMITS MANUAL
Special Provisions to be inserted in APPENDIX K (Rev 01/01)

STRUCTURE WORK

Use these special provisions when Permit includes any capital improvement work (Capital Outlay Program or Permit Program) involving structure related facilities such as: modification to existing bridges, new bridges, all tunnels, underground structures, single and multi-cell culverts wider than 20' (6.1 m) measured in the direction of traffic, storage boxes, non-standard retaining walls, non-standard sound walls (including sound walls on retaining wall), earth retaining systems, bridge-mounted sign structures, overhead sign structures, pump plants, slope paving under bridges (including any paving or channel lining around bridge columns), seal slabs/boat sections, transit stations, and toll plazas.

In addition to the attached General Provisions (TR-0045), the following special provisions are also applicable:

1) BEGINNING OF WORK:

The PERMITTEE shall notify the Department's Representative, _____
(Name of Structures Area Construction Manager)

at _____ two (2) weeks before the intent to start permitted work to ensure coordination
(Phone Number)

with the Division of Structure Construction.

2) CONTRACT DOCUMENTS:

In addition to the number of as-advertised contract document sets required by the District Permit Engineer for district use, the PERMITTEE shall include a minimum of eleven (11) additional sets of contract documents (plans, special provisions and addenda) for use by the Caltrans Engineering Service Center. Upon approval of the permit application, the District Permit Office shall distribute the eleven additional sets of contract documents to:

Caltrans Engineering Service Center
Office of Special Funded Projects
1801 30th Street, MS-12
Sacramento, CA 95816

Depending on the work contemplated in the project, more copies may be required as determined by the District Permit Engineer and the Structures OSFP Liaison Engineer.

3) AS-BUILT & OTHER COMPLETION RECORDS

Within sixty (60) days following completion and acceptance of the project construction contract, PERMITTEE shall furnish acceptable completion records, which are applicable to the project, to the STATE representatives shown in the following table. Completion records shall be submitted in accordance with the "Submittal Instructions and Forms" shown in the following table. When requested by the PERMITTEE, the STATE representative shall furnish the instructions and forms shown in the following table. This information is also available from the Caltrans internet website.

Completion records or accompanying correspondence shall not include disclaimer statements of any kind. Such statements shall constitute non-compliance with these provisions.

For Locally Advertised projects, the As-Built Plan Package shall include the " Structures As-Built Plan Submittal Route Slip."

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Completion Records Table

Completion Record	Submittal Instructions and Forms	Submit Completion Record to:
Field Office set of red-marked As-Built plans for Structures, including Log of Test Borings from the Construction Contract Administrator	Furnish the construction field office set of red-marked As-Built prints, <p style="text-align: center;"><u>AND</u></p> Initial, date, and attach the “Structures As-Built Plan Submittal Route Slip” to the As-Built plans submittal package.	<u>Express Mail or hand carry to:</u> State of California, Department of Transportation Engineering Service Center, Division of Structure Construction 1801 30 th Street, MS-9 Sacramento, CA 95816
Final As-Built plans for Structures, including Log of Test Borings from the Design Consultant	Furnish one (1) complete set of acceptable full size reproducible As-Built plans, <p style="text-align: center;"><u>AND</u></p> Furnish the construction field office set of red-marked As-Built prints, <p style="text-align: center;"><u>AND</u></p> Initial, date, and attach the Structures As-Built Plan Submittal Route Slip to the As-Built plans submittal package.	<u>Mailing Address:</u> State of California, Department of Transportation Engineering Service Center, Office of Special Funded Projects 1801 30 th Street, MS-12 Sacramento, CA 95816 <u>Next Day Mail or hand carry to:</u> 801 12 th Street, Suite 400 Sacramento, CA 95814
Working Drawings (Shop Plans)	See contract special provisions and Standard Specifications for each individual structure.	ESC Structures Document Unit Division of Structure Design
Report of Completion for Structures	Submit, for each individual structure, Form DS-OS C3, “Report of Completion-Bridges”, or equivalent.	Division of Structure Construction Oversight field Engineer for the project construction contract
Joint Movement Calculations for Structures	Submit, for each individual structure, Form DSD-D-0129, “Joint Movement Calculations” or equivalent.	Division of Structure Construction Oversight field Engineer for the project construction contract
Driven Pile Records	Submit, for each individual structure, Forms DC-C78, “Pile Quantity & Driving Record (Driven Piles)”; DH-OS C79, “Log Pile Sheet”; and DH-OS C80, “Pile Layout Sheet”; or equivalent.	Division of Structure Construction Oversight field Engineer for the project construction contract
Paint Records for Structures	Submit, for each individual structure, Forms DH-OS M5, “Clean and Paint Cost Summary”; DH-OS M8, “Daily Clean & Paint Record”; DH-OS M11, “Paint Record”, and DH-OS M78, “Spot – Sandblasting Report”; or equivalent.	Division of Structure Construction Oversight field Engineer for the project construction contract

4) PROJECT COMPLETION (PROCESS BILLING/COMPLETION NOTICE)

For permits involving structure work, the Progress Billing/Completion Notice shall not be submitted by the District Oversight Resident Engineer/District Permit Engineer as the “Completion Notice” until the structure As-Built and other applicable structure completion records have been submitted by the permittee and approved by Caltrans. The receipt of these records shall be noted on the Progress Billing/Completion Notice.

Private Entities

Failure of private entities to provide accurate, reproducible As-Built plans and satisfactory completion records for permit work shall be cause for bond or deposit retention by the Department.

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Local Agencies

Failure of local agencies to provide accurate, reproducible As-Built plans, and satisfactory completion records for permit work shall be cause for the Department to require performance bonds on future permits. Future permitted work is subjected to a bond requirement until the completion records of said previously permitted work are submitted satisfactorily (Streets & Highways Code, Section 678).

STRUCTURE AS-BUILT PLANS SUBMITTAL ROUTE SLIP

FOR LOCALLY-ADVERTISED CONSULTANT-DESIGNED STRUCTURE PROJECT(S)

CONTRACT EA: _____

PERMIT NO. (to local entity): _____

DIST/CO/RTE/PM(KP): _____

COMPLETION & ACCEPTANCE OF PROJECT CONSTRUCTION CONTRACT FIELD WORK (DATE): _____

BRIDGE NO(S): _____

CONSTRUCTION CONTRACT ADMINISTRATOR (Name, Phone, & Firm): _____

CALTRANS OVERSIGHT STRUCTURE REPRESENTATIVE (Name & Phone): _____

CALTRANS DISTRICT OVERSIGHT RESIDENT ENGINEER (Name & Phone): _____

DISTRICT ENCROACHMENT PERMITS ENGINEER (Name & Phone): _____

CALTRANS STRUCTURES OSFP OVERSIGHT LIAISON ENGINEER (Name & Phone): _____

KEEP THIS MEMO WITH THE STRUCTURE AS-BUILT PLAN PACKAGE (HAND CARRY OR EXPRESS MAIL TO THE NEXT PERSON)

Initials/Date

- _____ 1) CONSTRUCTION CONTRACT ADMINISTRATOR / STRUCTURE REPRESENTATIVE
 - Compile all structure As-Built changes, including supplemental plan sheets due to CCO's. Consultant Structure Representatives shall review structure As-Built changes with the State Oversight Structure Representative prior to delivery to Division of Structure Construction in Sacramento.
 - Send the field office set of red-marked As-Built prints to CALTRANS ESC, Division of Structure Construction, 1801 30th Street, MS 9-2/11H, Sacramento, CA 95816.
- _____ 2) DIVISION OF STRUCTURE CONSTRUCTION (DSC), SACRAMENTO
 - Receive and review the structure As-Built Plans changes noted on the field office set of red-marked As-Built prints.
 - Verify that **ALL** of the As-Built structure sheets have been received and have the As-Built stamp (including Log of Test Borings plan sheets).
 - Update contract records.
- _____ 3) DIVISION OF EARTHQUAKE ENGINEERING & DESIGN SUPPORT (DEE&DS), Office of Special Funded Projects
 - Receive and review As-Built changes.
 - Deliver the package of the field office set of red marked as built prints, and the As-Built route slip to the Design Consultant so that the As-Built changes can be transferred onto the Local Entity's as-advertised tracings.
- _____ 4) DESIGN CONSULTANT
 - Transfer **red-marked** As-Built changes to original **as-advertised** tracings (or to the Computer Graphics files if necessary). The original as-advertised tracings thereby become the final As-Built tracings.
 - Deliver field office set of red-marked As-Built prints, the set of final As-Built tracings and this Slip by express mail or hand carry to CALTRANS ESC – OSFP, 801 12th St, Suite 400, MS 12, Sacramento, CA 95814*
- _____ 5) DIVISION OF EARTHQUAKE ENGINEERING & DESIGN SUPPORT (DEE&DS), Office of Special Funded Projects
 - Verify that As-Built red-marked changes and approved CCO's are reflected on the final As-Built tracings.
 - **Inform** District Resident Engineer (or District Encroachment Permit Engineer if total estimate < \$1M) that the final structure As-Built have been received and are satisfactory. The RE or the District Permit Engineer can then initiate and submit the Progress Billing/Completion Notice (TR-0129) regarding structure requirements to the District Permit Section**
 - **Inform** Design Consultant that final structure As-Built have been received and are satisfactory.
 - Structures OSFP retains the field office set of red-marked As-Built prints until the final As-Built tracings are returned from HQ Micrographics. Final structure As-Built tracings are forwarded to DSM&I.
- _____ 6) DIVISION OF STRUCTURES MAINTENANCE AND INVESTIGATIONS (DSM&I)
 - Notify DSM&I-Encroachment Permits Section that As-Built plans have been received and are satisfactory.
 - Scan final As-Built tracings into bridge information records system, BIRIS.
 - Forward final As-Built tracings to HQ Micrographics.
- _____ 7) HQ MICROGRAPHICS
 - Use final structure As-Built tracings to order 3 full sets of microfilm (roadway & structures) aperture cards.
 - HQ Micrographics files a set of microfilms, delivers a set to both the District, and the Department's security file.
 - Return the final structure As-Built tracings to Structures OSFP [for storage/disposal or return to Design Consultant of Local Entity (if requested)]. Structures OSFP can then dispose of the field office set of red-marked As-Built prints or return them to the Design Consultant or Local Entity (if requested).

* When required by contract with Local Agency, send a **copy** of red-marked prints and reproducible **copies** of final As-Built plans to the Local Agency. Design Consultant keeps a set of reproducible **copies** of the final As-Built plans for own file.

**Project closure is also contingent upon the submittal of other final structure project records and District Roadway As-Built Plan Package to the District.